

Subject: TEMPORARY AUTHORIZATION UTILIZATION (TAU) APPOINTMENT

REFERENCES	SECTIONS
Human Resources Policy Memos http://hr.dgs.ca.gov/PublicationsandResources/HR+Memos.htm	HR 01-020
Law & Regulation http://www.spb.ca.gov/chief/code_regulations.htm http://www.spb.ca.gov/chief/government_code.htm	SPB Rule 265 GC 19058-19059
Personnel Management Policy and Procedures Manual (PMPPM)	330
Responsible Control Agency and Program	State Personnel Board (SPB)
Selection Manual	3600
SPB/DPA Policy Memos http://www.spb.ca.gov/pinkies.htm	SPB "Pinkie" dated 3/7/94 SPB "Pinkie" dated 9/29/92

Temporary Authorization Utilization (TAU) Appointment

Policy

It is the policy of the DGS that the use of temporary authorization utilization (TAU) appointments shall only be considered when all other options to filling a position have been exhausted. Other options include:

- Lateral transfers (from same class)
- Transfers (from different class)
- Training and development (T&D) assignments
- Out-of-class assignments
- Reinstatements
- Using another department's list for the same or similar classification as an appropriate list
- Transferring a candidate's eligibility from another department's list to DGS' list

We will not abolish eligible lists to make TAU hires. Instead, the list must be cleared by sending contacts and have no interested candidates. We will exhaust all other options before authorizing a TAU (this should be the last option considered)

Definition/ Explanation

DGS' delegation from SPB stipulates that we must follow specific guidelines when approving promotional TAU appointments:

- To prevent pre-selection and/or providing an unfair advantage to one employee over another, promotional TAUs shall be very rare.
- Promotional TAU appointments shall only be approved when it has been demonstrated that there is an urgent need for the appointment.
- Consideration must be given to out-of-class assignments allowed through the bargaining unit contract and/or the feasibility of rotating staff on an acting basis into the position until the examination can be completed.

A temporary appointment may be made to a position for which there is no employment list. No person may serve in one or more positions under temporary appointment longer than 9 months in 12 consecutive months. The limitation cannot be exceeded or extended for any reason. The 9-month period can be computed on a calendar or actual time worked basis. When computing actual time worked, 194 days equals 9 months.

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Temporary Authorization Utilization (TAU) Appointment Appointment, Continued

Procedures The following steps/actions are for the recruitment process.

Step	Action
1	Office sends Request for Personnel Action (RPA) to Classification & Pay (C&P) Analyst
2	C&P Analyst <ul style="list-style-type: none"> Reviews RPA for appropriate duties, etc. Sends to Cert Unit for cert ordering.
3	The Cert Unit <ul style="list-style-type: none"> orders certification list and sends out contact letters to the entire list. Contacts are valid for 60 days. If there is no list available, returns RPA and copy of list to C&P Analyst. If there are less than three interested names on the existing list, notifies Office and returns the RPA with a copy of the cert list to C&P Analyst. <p><i>Note: If the list is promotional, ALL names must be cleared before a TAU can be considered.</i></p>
4	The C&P Analyst: <ul style="list-style-type: none"> Discusses options with the office. (see Page 2. All other alternatives will be explored before TAU is authorized. TAU is the last option.) Browses (BRPT/XXXXLIST) if there is no list or there are less than 3 interested candidates (ALL names must be cleared if the list is promotional). Alternatives: <ol style="list-style-type: none"> Use another department's list Use another classification (equal to or higher level) [Choose the list that will offer the best results. Attach a copy of search to the RPA.] If appropriate list is used, return to Cert Unit, step 3. If no results, continue with Step 4. Is the existing DGS list a promotional list? If so, it must be completely cleared before a TAU can be considered (SPB Rule 265) Check TAU listing to see if there are any existing TAU's in that class. Discuss potential TAU authorization with Selection Unit Supervisor. If exam is in progress and the final file date has passed, a TAU cannot be authorized. If TAU cannot be authorized, advise office they must choose one of the other alternatives. If TAU is only viable alternative, contact Selection Unit Supervisor to get the name of the Selection Analyst.

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Temporary Authorization Utilization (TAU) Appointment Appointment, Continued

Procedures (continued)

Step	Action
5	The Selection Unit Supervisor assigns a Selection Analyst to work with C&P Analyst for application review purposes.
6	<p>a. The C&P Analyst sends notice of "TAU Authorization to Recruit" (see attachment) to the Office HR Liaison and contact person with copies to the Cert Unit, Personnel Transactions Unit (PTU) and the Selection Analyst identified by the Selection Unit Supervisor.</p> <ul style="list-style-type: none">• TAU Authorization form lists the procedures to follow throughout the process.• TAU Authorizations are granted on an RPA by RPA (or position by position) basis.• TAU Authorizations are good for 60 days – TAU's should be granted to meet immediate hiring needs; therefore, recruitment should be immediate. <p>b. Enter TAU language on JOB and post JOB.</p> <p>c. Forward copy of RPA to identified Selection Analyst.</p>
7	<p>The Office:</p> <p>a. Prints copy of class specification from SPB web site at http://www.spb.ca.gov/employment/spbpayrd.htm to assist with application review.</p> <p>b. Develops newspaper ad (if applicable) and send to identified Selection Analyst for review prior to publication.</p> <p>c. Proceeds with recruitment.</p>
8	<p>The Selection Analyst:</p> <p>a. Reviews newspaper ad (if any) prior to publication.</p> <p>b. Checks file for 511B. If no 511B on file, create one using class specification.</p> <p>c. Contacts office to request input from Subject Matter Expert (SME).</p>

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Temporary Authorization Utilization (TAU) Appointment Appointment, Continued

Procedures (continued)

Step	Action
8	The Office: a. After the final filing date of the JOB, reviews applications. b. Sends only the applications of the candidates that you are interested in interviewing to the C&P Analyst. All applications should be sent at the same time. <i>Note: Applications must have original signature.</i> c. Attaches a copy of the "TAU Authorization to Recruit" and a copy of the JOB to the applications. d. On the top of each application, enter the RPA number. e. Retains a copy of the applications for the office file. f. At the same time, sends an e-mail to the C&P Analyst with the names of the applicants being sent forward for review.
9	The C&P Analyst: a. Reviews applications for the following: <ul style="list-style-type: none">• Check PIMS history for current class• Identify potential promotional TAU's• Eligibility anywhere else for transfer; on a list elsewhere? b. Forwards applications to identified Selection Analyst for MQ review.
10	The Selection Analyst: a. Before reviewing applications, ensures that an updated 511B is prepared. b. If assistance from SME is needed for application review, has SME sign green "Security Information for Examination Consultants" form. c. Reviews applications to make sure applicants meet the minimum qualifications for entrance into the examination. Completes the TAU APPLICATION REVIEW WORKSHEET (see attachment). Does not detail or mark original applications in any way. d. Bundles applications together in two groups: Puts a Post-It note on each bundle marked "Meets MQ's" or "Does not meet MQ's." e. Retains TAU APPLICATION REVIEW WORKSHEET. Attaches security form. f. Returns MQ'd applications to the C&P Analyst.

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Temporary Authorization Utilization (TAU) Appointment, Continued

Procedures (continued)

Step	Action
11	The C&P Analyst: a. Sends e-mail to Office and cc Selection Analyst with the results of the MQ review (which applicants meet/don't meet MQ's). Reminds the office that only those applicants who meet the MQ's can be interviewed. b. Holds all applications until the office responds with results of interviews.
12	The Office: a. Interviews qualified applicants. b. Sends e-mail to C&P and Selection Analysts (cc Transactions Specialist and Cert Unit) with the name of the hired applicant, the class title, the RPA number and the proposed effective date.
13	The C&P Analyst: a. If selected candidate is a DGS employee, advises Office that employee will be placed on out-of-class assignment instead of a TAU appointment. Checks appropriate MOU to determine length allowed in contract. b. If TAU appointment is appropriate, prepares Form 215, CERTIFICATION OF TAU APPROVAL (see attachment) for the person selected for TAU appointment. c. Forwards original of 215 with application attached to Selection Analyst for signature.
14	The Selection Analyst: a. Referring to TAU APPLICATION REVIEW WORKSHEET, details application for proposed TAU appointee. b. Signs and dates original 215, attaches detailed application, and returns to C&P Analyst. c. Files worksheet with security form attached in TAU holding file.

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Temporary Authorization Utilization (TAU) Appointment, Continued

Procedures **The following steps/actions are for the TAU appointment process.**
(continued)

Step	Action
1	The C&P Analyst: a. Notifies Office to begin appointment process. b. Verifies proposed effective date and writes it in pencil in the "A01 EFF DATE" space. c. Makes 3 copies of the 215 and application: <ul style="list-style-type: none">• Original goes to TAU file (open or promo)• 1 copy for Selection Unit Supervisor• 1 copy for Cert (for OPF)• 1 copy for C&P Analyst d. Makes correction to RPA to reflect TAU (initial and date all changes). e. If TAU appointee will receive a Hire Above Minimum (HAM), attaches approved HAM documents to RPA. f. Returns RPA to Cert Unit. g. Prepares "Returned TAU Applications" cover memo (see attachment) and returns all applications for those candidates not selected for TAU appointment to the office.
2	The Cert Unit: a. Clears the cert if applicable. b. Records cert number only on Control form. c. Forwards the RPA, Form 215 and HAM, if applicable, to the Personnel Specialist (PS) in PTU.
3	The PS: a. Before processing appointment, verifies effective date with Office; changes if needed. b. Calculates expiration date as a full 9 months from effective date. c. Records Cert number only on PAR. d. Processes appointment within 30 days of receipt from Cert Unit. e. Files copy of the 215 and application in the employee's OPF.

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Temporary Authorization Utilization (TAU) Appointment, Continued

Procedures (continued)

Step	Action
4	<p>The Office:</p> <ul style="list-style-type: none"> a. Provides prospective employee with information regarding conditions of employment for TAU employees. b. Sends "thank you for applying" letters to those candidates not selected. c. Retains applications for two years per Government Code Section 12946.
5	<p>The Selection Unit Supervisor:</p> <ul style="list-style-type: none"> a. Files 215 in TAU holding file pending assignment of exam. b. Adds exam to exam plan; notes anticipated TAU expiration date in Comments/Status column. c. Determines lead time required to complete exam prior to expiration date. d. Assigns priority to exam.
The following steps/actions pertain to after the appointment is processed	
1	<p>The Selection Unit Supervisor:</p> <ul style="list-style-type: none"> a. Compares the 215 to the TAU report. b. If the TAU candidate does not appear on the report within two months after the anticipated effective date as noted on the 215, follows-up with C&P Analyst to find out why. c. Fills in actual TAU expiration date on exam plan.
2	<p>The C&P Analyst:</p> <ul style="list-style-type: none"> a. Reviews the TAU report to make sure the expiration date is correct. b. Alerts PTU to any changes that need to be made. c. Notifies Selection Unit Supervisor of any changes.
The following steps/actions pertain to when an examination is scheduled.	
1	<p>The C&P Analyst sends e-mail to office with TAU's notifying them of the upcoming exam and that TAU hires must be completed prior to the final filing date as announced on the exam bulletin.</p>
2	<p>The Selection Analyst:</p> <ul style="list-style-type: none"> a. Sends out reminder to Office to ensure that TAU appointee files for the exam. b. If the exam is going to be a one-day file-in-person, coordinates date with Office to ensure that TAU appointee will be available to file his/her application in person.
3	<p>The Office:</p> <ul style="list-style-type: none"> a. Ensures that TAU appointee is notified of exam and files his/her application in accordance with filing instructions. b. Provides appropriate assistance to TAU employees in preparing for upcoming exam.

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Temporary Authorization Utilization (TAU) Appointment, Continued

Procedures **The following steps/actions pertaining to what occurs after an**
(continued) **examination is completed.**

Step	Action
1	<p>The Selection Analyst</p> <ol style="list-style-type: none"> Notifies Office, Cert Unit and C&P Analyst via e-mail that exam is completed. Abolishes existing list belonging to DGS (for the same location), if applicable.
2	<p>The C&P Analyst:</p> <p>A cert will automatically generate with the same cert number used for the TAU appointment.</p> <p>If TAU is reachable:</p> <ol style="list-style-type: none"> Advises Office that an RPA must be submitted within 60 days to appoint the TAU. Follows up at 30-day intervals if RPA has not been received. After approving RPA, monitors TAU report to ensure appointment has been keyed. If TAU continues to show up on TAU report, follows up with PTU to find out why. <p>If TAU is not reachable, advises the office of their options:</p> <ol style="list-style-type: none"> Terminates TAU and hires someone else off the list. Waits 60 days to see if TAU becomes reachable. If TAU is not reachable after 60 days, TAU must be terminated. <p>If TAU was not successful in the examination process:</p> <ol style="list-style-type: none"> Terminates within 60 days or by the appointment expiration date, whichever comes first.
3	<p>The Office submits RPA and attaches original JOB that advertised the position. If applicable, attaches Post and Bid information from the original recruitment. If RPA and JOB from original recruitment do not match, Post & Bid may need to be re-done.</p>

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Temporary Authorization Utilization (TAU) Appointment, Continued

Special notes

1. If TAU will not be retained, termination MUST be made within 60 days of the list date OR prior to the expiration date, whichever comes first.
 2. If TAU appointee is successful in the examination process and in a reachable rank and the expiration date has passed, the candidate MUST be appointed. If the Office did not wish to retain the TAU but failed to take the proper termination action, the candidate is now on probation and the Office must work with the Personnel Enhancement Section Analyst to resolve performance issues, including Rejection on Probation, if necessary.
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Attachments

[TAU Authorization to Recruit](#), [TAU Application Review Worksheet](#),
[Certification of TAU Approval \(DGS 215\)](#)
